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**FAX TRANSMITTAL SHEET**

DATE: DECEMBER 14, 2006

NUMBER OF PAGES (INCLUDING  
THIS FAX TRANSMITTAL SHEET): 11

LVM REFERENCE: 239659

FROM: SALIM A. HASAN

DIRECT LINE: (312) 616-5600

REGISTRATION NO. 38,175

TO: MAIL STOP AMENDMENT  
UNITED STATES PATENT AND TRADEMARK OFFICE  
COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313

FAX NUMBER: (571) 273-8300

IN RE APPLN. OF: NIE ET AL.  
APPLICATION NO. 10/555,729  
FILED: NOVEMBER 7, 2005  
FOR: ALLOYED SEMICONDUCTOR QUANTUM DOTS AND CONCENTRATION-  
GRADIENT ALLOYED QUANTUM DOTS, SERIES COMPRISING THE SAME  
AND METHODS RELATED THERETO

ATTORNEY DOCKET: 239659

**ATTACHED PLEASE FIND THE FOLLOWING DOCUMENTS:**

1. FORM PTO-1083 (1 PG., IN DUPLICATE)
2. PRELIMINARY AMENDMENT (8 PGS.)

A confirmation copy of the transmitted document will:

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FORM PTO-1083

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PATENT  
Attorney Docket No. 239659  
Client Reference No. 0215-US  
Date: December 14, 2006

In re Application of: Nie et al.

Application No. 10/555,729

Filed: November 7, 2005

For: Alloyed Semiconductor Quantum Dots and Concentration-Gradient Alloyed Quantum Dots, Series  
Comprising the Same and Methods Related TheretoMail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith is a reply to office action in the subject application.

- ☒ Small entity status is claimed for this application under 37 CFR 1.27.
- ☒ Petition for an extension of time for the period noted below, as well as for any additional period necessary to render the present submission timely. Please charge Deposit Account No. 12-1216 for the appropriate petition fee.
- ☐ Other:
- ☒ Please charge Deposit Account No. 12-1216 in the total amount indicated below. A duplicate copy of this transmittal sheet is enclosed herewith.

					SMALL ENTITY		OTHER THAN A SMALL ENTITY	
TIME EXTENSION PETITION FEE			none		\$ 0.00		\$ 0.00	
subtract time extension fee previously paid			none		(\$ 0.00)		(\$ 0.00)	
CLAIM FEE	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	EXTRA CLAIMS PRESENT	RATE	ADD'L CLAIM FEE	RATE	ADD'L CLAIM FEE
TOTAL	26	MINUS	20	= 6	x 25 =	\$150.00	x 60 =	\$
INDEPENDENT	4	MINUS	3	= 1	x 100 =	\$100.00	x 200 =	\$
<input type="checkbox"/>	FIRST PRESENTATION OF MULTIPLE CLAIM				+ 180 =	\$	+ 360 =	\$
TOTAL AMOUNT TO BE CHARGED TO DEPOSIT ACCOUNT					TOTAL	\$250.00	TOTAL	\$

- ☒ The Commissioner is hereby authorized to charge any deficiencies in the following fees associated with this communication or credit any overpayment to Deposit Account No. 12-1216.
- ☒ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.
- ☒ Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

LEYDIG, VOIT &amp; MAYER, LTD.

By

Sajim A. Hasan, Reg. No. 38,175

Leydig, Voit & Mayer, Ltd.  
Two Prudential Plaza, Suite 4900  
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FORM PTO-1083

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Attorney Docket No. 239659  
Client Reference No. 0215-US  
Date: December 14, 2006

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In re Application of: Nie et al.

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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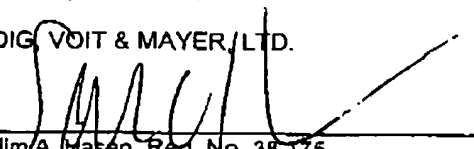
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subtract time extension fee previously paid			none		(\$ 0.00)		(\$ 0.00)	
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<input type="checkbox"/>	FIRST PRESENTATION OF MULTIPLE CLAIM				+ 180 =	\$	+ 360 =	\$
TOTAL AMOUNT TO BE CHARGED TO DEPOSIT ACCOUNT					TOTAL	\$250.00	TOTAL	\$

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Respectfully submitted,

LEYDIG, VOIT &amp; MAYER, LTD.

By:   
Salim A. Maan, Reg. No. 38,175Leydig, Voit & Mayer, Ltd.  
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application No. 10/555,729

Applicant: Nie et al.

Filed: November 7, 2005

TC/AU: Unassigned

Examiner: Unassigned

Docket No.: 239659 (Client Reference No. 0215-US)

Customer No.: 23460

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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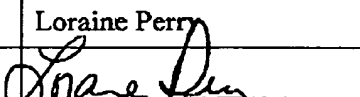
## PRELIMINARY AMENDMENT

Dear Sir:

Prior to the examination of the above-identified patent application, please enter the following amendments and consider the following remarks.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks/Arguments begin on page 8 of this paper.

TRANSMISSION CERTIFICATE UNDER 37 CFR 1.8 OR 1.10			
I hereby certify that this document and all accompanying documents are, on the date indicated below, being facsimile transmitted to the U.S. Patent and Trademark Office at fax number: (571) 273-8300.			
Name (Print/Type)	Lorraine Perry		
Signature		Date	December 14, 2006